



SRE0001-US

21667
P 5
3-14-03

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of:

KRAEHENBUEHL, ET AL.

Serial No.: 09/967,045

Art Unit: 2166

Filed: October 1, 2001

Examiner: Not Yet Assigned

For: ON-LINE REINSURANCE
CAPACITY AUCTION SYSTEM
AND METHOD

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
Washington, D.C. 20231

Sir:

Applicants wish to make of record in the above-identified application the document or documents referenced on the attached Form PTO-1449. A copy of each reference is enclosed herewith.

The undersigned believes that this Information Disclosure Statement is being filed before the mailing date of a first Office Action on the merits for the above-referenced application. Accordingly, Applicants do not believe that a fee is due for filing this paper. However, should a first action on the merits have been issued on the same day or before this Information Disclosure Statement is filed, please accept this Information Disclosure Statement under Rule 97(c) and charge the requisite Rule 17(p) fee to our Deposit Account No. 50-1390, under Order No. SRE0001-US and proceed to consider this Information Disclosure Statement.

RECEIVED
MAR 12 2003
GROUP 3600

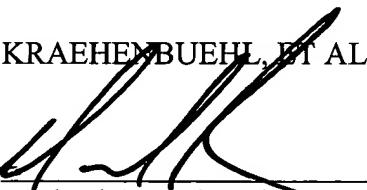
It is respectfully requested that the information be expressly considered during the prosecution of this application, and that each reference be made of record therein and appear among the "References Cited" on any patent to issue therefrom.

This submission does not represent that any referenced document is material or constitutes "prior art." If it should be determined that one or more of the referenced documents constitute "prior art" under United States law, Applicants reserve the right to present to the Office the relevant facts and law regarding the appropriate status of the reference or references.

Applicants further reserve the right to take appropriate action to establish the patentability of the disclosed invention over any referenced document, should it be applied against the claims of the present application.

SHAW PITTMAN LLP
1650 Tysons Boulevard
McLean, VA 22102
Tel: (703) 770-7606

Date: March 5, 2003

Respectfully submitted,
KRAEHEMBUEHL, ET AL.
By: 
Michael D. Bednarek
Registration No. 32,329

MDB/SPA/ge

SRE0001-US



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of:

KRAEHENBUEHL, ET AL.

Serial No.: 09/967,045

Filed: October 1, 2001

For: ON-LINE REINSURANCE
CAPACITY AUCTION SYSTEM
AND METHOD

Art Unit: 2166

Examiner: Not Yet Assigned

IDENTIFICATION OF COPENDING APPLICATION(S)

Commissioner for Patents
Washington, D.C. 20231

Sir:

Applicants wish to identify the following copending application or applications which may contain technical subject matter related to that of the present invention:

<u>Serial No.</u>	<u>Filed</u>	<u>Attorney Docket No.</u>	<u>Patent No.</u>
60/328,441	10/12/01	SRE0002-PROV	
10/267,942	10/10/02	SRE0002-US	

This identification is not to be construed as a waiver of confidentiality as to the cited application now or upon issuance of the present application as a patent. The Examiner is respectfully requested to consider the cited copending application or applications and the art cited therein during examination of the present application.

Serial No.: 09/967,045
Art Unit: 2166

Attorney's Docket No.: SRE0001-US
Page 2

**DO NOT PRINT THE ABOVE CITATION(S) IN ANY PATENT THAT
ISSUES FROM THE ABOVE-CAPTIONED APPLICATION OR ANY
OTHER RELATED APPLICATION.**

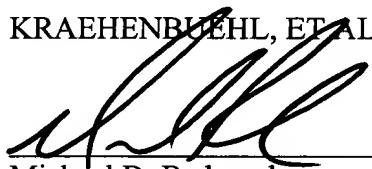
SHAW PITTMAN LLP
1650 Tysons Boulevard
McLean, VA 22102
Tel: (703) 770-7606

Date: March 5, 2003

Respectfully submitted,

KRAEHENBUEHL, ET AL.

By:


Michael D. Bednarek
Registration No. 32,329

MDB/SPA/ge

Document #: 1225197 v.1



RECEIVED
MAR 12 2003
GROUP 3600

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

PTO/SB/08A (10-01)

Approved for use through 10/31/2002. OMB 0651-0031
U.S. Patent and Trademark Office U.S. DEPARTMENT OF COMMERCE

Substitute for form 1449A/PTO				<i>Complete if Known</i>	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i>				Application Number 09/967,045 Filing Date October 1, 2001 First Named Inventor KRAEHENBUEHL, ET AL. Art Unit 2166 Examiner Name Not Yet Assigned	Attorney Docket Number SRE0001-US
Sheet	1	of	2		

U.S. PATENT DOCUMENTS

FOREIGN PATENT DOCUMENTS

Examiner Signature		Date Considered	
-----------------------	--	--------------------	--

* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Applicant's unique citation designation number (optional). ²See Kind Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



PTO/SB/08B (10-01)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

<p>Substitute for form 1449B/PTO</p> <p>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</p> <p><i>(use as many sheets as necessary)</i></p>				Complete if Known	
				Application Number	09/967,045
				Filing Date	October 1, 2001
				First Named Inventor	KRAEHENBUEHL, ET AL.
				Group Art Unit	2166
				Examiner Name	Not Yet Assigned
Sheet	2	of	2	Attorney Docket Number	SRE0001-US

OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS

Examiner Signature		Date Considered	
-----------------------	--	--------------------	--

* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached.

Burden/Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. An additional 2.0 hours is required for the preparation of the application.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

Document #: 1225247 v.1